



Attorney's Docket No.: C01104/70016

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kevin J. Dowling, et al.  
Serial No.: 09/805,590  
Confirm. No.: 1160  
Filed: March 13, 2001  
For: LIGHT-EMITTING DIODE BASED PRODUCTS  
  
Examiner: A, Minh D.  
Art Unit: 2821

CERTIFICATE OF MAILING UNDER 37 CFR §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 8th day of October, 2003.

  
Jeanne W. Chub

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

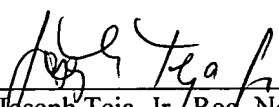
Transmitted herewith are the following documents:

- ☒ Information Disclosure Statement, Form PTO-1449 and Cited References
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 395-7000.

A check for \$180.00 is enclosed. If the fee is insufficient, the Commissioner is hereby authorized to charge Deposit Account No. 50/2762. A duplicate of this sheet is enclosed.

Respectfully submitted,  
Kevin J. Dowling, et al., Applicants

By:   
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Docket No. C01104/70016  
Date: October 8, 2003  
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Jeanne W. Chub

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed more than three months after the filing date of this application and after the mailing date of the first Office Action, but before the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, or an action that otherwise closes prosecution in this application.

The fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) is enclosed.

10/16/2003 MBELETE1 00000036 09805590

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PART II: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

PART III: Explanation of Non-English Language References

The following is a concise explanation of the relevance of each non-English language reference listed on the attached form PTO-1449 (modified):

Some of the references listed on the attached form PTO-1449 (modified) were cited in at least one of five oppositions filed against a European counterpart to a parent application of the present application. The European counterpart is EP Patent No. 1,016,062, EP Serial No. 98944539.0, corresponding to U.S. Patent No. 6,016,038 (U.S. Serial No. 08/920,146). The present application is a continuation-in-part of U.S. Serial No. 09/669,121, filed September 25, 2000, which is a continuation of U.S. Serial No. 09/425,770, now U.S. Patent No. 6,150,774, which in turn is a continuation of U.S. Serial No. 08/920,146.

PART IV: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

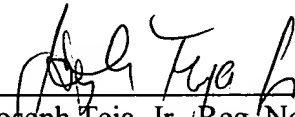
By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

*Kevin J. Dowling et al.*

By:   
\_\_\_\_\_  
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Docket No. C01104/70016

Date: October 8, 2003

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OCT 10 2003

FORM PT 21449/A and B (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				APPLICATION NO.: 09/805,590		ATTY. DOCKET NO.: C01104/70016	
				FILING DATE: March 13, 2001		CONFIRMATION NO.: 1160	
				APPLICANT: Kevin J. Dowling et al.			
				GROUP ART UNIT: 2821		EXAMINER: A, Minh D.	
Sheet	1	of	2				

## U.S. PATENT DOCUMENTS

Examiner's Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		* 4,339,788		White et al.	07/13/1982
		* 4,342,947		Bloyd	08/03/1982
		* 4,455,562		Dolan et al.	06/19/1984
		* 4,870,325		Kazar	09/26/1989
		* 5,089,748		Ihms	02/18/1992
		* 5,161,879		McDermott	11/10/1992
		* 5,287,352	A	Jackson et al.	02/15/1994
		* 5,621,603	A	Adamec et al.	04/15/1997
		* 5,688,042	A	Madadi et al.	11/18/1997
		* 5,790,329	A	Klaus et al.	08/04/1998
		* 5,812,105		Van de Ven	09/22/1998
		* 5,854,542		Forbes	12/29/1998
		* 5,907,742		Johnson et al.	05/25/1999
		* 6,020,825		Chansky et al.	02/01/2000
		* 6,127,783		Pashley et al.	10/03/2000
		* 6,183,104	B1	Ferrara	02/06/2001
		* 6,445,139	B1	Marshall et al.	09/03/2002
		* 6,448,550	B1	Nishimura	09/10/2002
		* 6,495,964	B1	Muthu et al.	12/17/2002

## FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			
		* GB	2131589	A	Integrated Systems Engineering, Inc.	11/04/1982	
		* GB	2210720	A	Eric Cheng	06/14/1989	
		* CA	2134848		Vari-Lite, Inc.	11/24/1998	
		* EP	1162400	A2	Omnilux s.r.l.	12/12/2001	
		* DE	9414689		Schlumer, Heinz-Dieter	02/02/1995	No
		* DE	29620583	U1	Kundisch Microtech GmbH	03/27/1997	No
		* WO	99/06759		Showers International Pty. Ltd.	02/11/1999	
		* DE	3917101		Rienecker Wolfgang Prof Dr Ing	11/29/1990	Abstract
		* DE	19602891	A1	Kammerer GmbH M	07/30/1997	Abstract
		* DE	3916875		Ullmann Ulo Werk	12/06/1990	Abstract
		* DE	19525897		Kostal Leopold GmbH & Co	10/02/1996	Abstract
		* DE	03805998		Siemens AG	09/07/1989	Abstract

FORM PTO-1449/A and B (Modified)		APPLICATION NO.: 09/805,590	ATTY. DOCKET NO.: C01104/70016
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> OCT 10 2003 PATENT & TRADEMARK OFFICE		FILING DATE: March 13, 2001	CONFIRMATION NO.: 1160
		APPLICANT: Kevin J. Dowling et al.	
		GROUP ART UNIT: 2821	EXAMINER: A, Minh D.
Sheet 2	of 2		

	* DE	03837313		Cheng Eric	05/24/1989	Abstract
	* JP	6 43830		NEC Corp.	02/18/1994	Yes
	* DE	8902905		Siemens AG	05/17/1990	No
	* DE	205307		Buero Fuer Schutzrechte Vels Werk	12/21/1983	No
	* KR	1019910009812		Samsung Electronics Co.	11/30/1991	Abstract
	* DE	29607270	U1	Kador und Kollegen	08/29/1996	No
	* DE	4041338	A1	Bayerische Motoren Werke AG	07/01/1992	Abstract
	* JP	2247688			03/10/1990	No
	* DE	4419006	A1	Kella KG Hueck & Co.	12/06/1995	Abstract
	* DE	4130576	C1	Siemens AG	03/17/1993	Abstract
	* EP	567280	B1	Hughs Aircraft Co.	10/27/1993	
	* DE	19651140	A1	Loptique Ges Fuer Lichtsysteme	06/19/1997	Abstract
	* DE	3925767	A1	Siemens AG	04/26/1990	Abstract
	* DE	2315709		Licentia Patent-Verwaltungs	10/10/1974	No
	* DE	3438154	A1	SWF Auto Electric Gmbh	04/24/1986	Abstract
	* EP	482680	A1	N.V. Phillips	04/29/1992	
	* EP	734082	A2	Motorola, Inc.	09/25/1996	
	* DE	9414688	U1	Schlumer, Heinz-Dieter	02/02/1995	No

#### OTHER ART — NON PATENT LITERATURE DOCUMENTS

Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
		* Hewlett Packard Components, "Solid State Display and Optoelectronics Designer's Catalog," pp. 30-43, July 1973	
		* INTEC Research, TRACKSPOT, <a href="http://www.intec-research.com/trackspot.htm">http://www.intec-research.com/trackspot.htm</a> , pp. 1-4, April 24, 2003.	
		* SHARP, Optoelectronics Data Book, pp. 1096-1097, 1994/1995	
		* About DMX-512 Lighting Protocol – Pangolin Laser Systems, pp. 1-4, April 7, 2003	
		* Avitec Licht Design '89-90, pp. 1-4	No
		* Dr. Ing, Ulrich Tietze, Dr. Ing, Christoph Schenk, pp. 566-569	No
		* FURRY, Kevin and SOMERVILLE, Chuck, Affidavit, LED effects, February 22, 2002, pp. 24-29.	
		* PUTMAN, Peter H., "The Allure of LED," <a href="http://www.sromagazine.biz">www.sromagazine.biz</a> , June/July 2002, pp. 47-52.	
		* BREMER, Darlene, "LED Advancements Increase Potential," <a href="http://www.ecmag.com">www.ecmag.com</a> , April 2002, p. 115.	
		* LONGO, Linda, "LEDs Lead the Way," Home Lighting & Accessories, June 2002, pp. 226-234.	
EXAMINER		DATE CONSIDERED	

#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. 09/669,121, filed September 25, 2000, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]